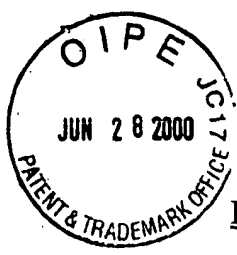


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PATENT  
Docket No. 10392/46701

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUN 29 2000  
GROUP 2700

In re application of : Steven M.H. WALLMAN—  
Serial No. : 09/516,792—  
Filed : March 1, 2000—  
For : METHOD AND APPARATUS FOR TRADING—  
SECURITIES OR OTHER INSTRUMENTS ON—  
BEHALF OF CUSTOMERS —  
Group Art Unit : 2768

ASSISTANT COMMISSIONER  
FOR PATENTS  
Washington, DC 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97 & § 1.98**

S I R:

In accordance with Applicants' duty of disclosure under 37 C.F.R. §1.56(a) and §1.97(b) (3), the references listed on the attached form PTO-1449 are hereby brought to the Examiner's attention.

Since all the references are in the English language, no statement of relevancy is required. A copy of each cited reference is also enclosed.

It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear in the "references cited" on any patent to issue therefrom.

Respectfully submitted,

KENYON & KENYON

Michael N. Haynes  
Registration No. 40,014

Date: June 28, 2000

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